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**MAIL STOP - PCT**  
Attorney Docket No.: 27233U  
Date: June 16, 2006

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Art Unit: Unknown  
FINK-WAGNER, et al. Examiner: Unknown  
Appl. No.: 10/572,316  
Filed: March 17, 2006  
International Application: PCT/EP2004/052265  
International Filing Date: September 22, 2004  
For: **COMPLIANCE MONITOR AND METHOD**

**TRANSMITTAL LETTER**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

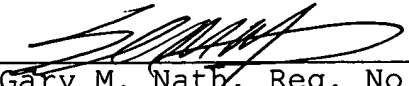
Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- 1) Information Disclosure Statement;
- 2) PTO Form-1449 with 12 references cited, with copies of 8 of the 12 references cited.

The Commissioner is hereby authorized to charge any deficiency or credit any excess to Deposit Account No. 14-0112.

Respectfully submitted,  
**NATH & ASSOCIATES PLLC**

  
Gary M. Nath, Reg. No. 26,965  
Sheldon M. McGee, Reg. No. 50,454  
Customer No. 34375

GMN/SMH/1e



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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

An Information Disclosure Statement is submitted herewith pursuant to 37 C.F.R. 1.97-1.98. Please note the following particulars: [NOTE: One only of items a, b, c, and d must be checked.]

- a. ☒ [XXX] The enclosed statement is being filed within three months of the filing date of a national application, or within three months of the date of entry into the national stage as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing date of a first Office Action on the merits, whichever event occurs last.
- b. ☐ [ ] The enclosed statement is being filed after a first action on the merits but before the mailing date of a final action under 37 C.F.R. 1.113, or a notice of allowance under 37 C.F.R. 1.311.  
The enclosed statement is accompanied by [check one]:  
☐ [ ] i. a certification in part (e) below as specified in 37 C.F.R. 1.97(e), or  
☐ [ ] ii. a check in the amount required by 37 C.F.R. 1.17(p).

c. ☐ The enclosed statement is being filed after the mailing date of a final action under 37 C.F.R. 1.113, or a notice of allowance under 37 C.F.R. 1.311, but before payment of the issue fee.  
☐ Certification report(e) below; and  
☐ a check in the amount as required by 1.17(p).

d. ☐ The enclosed statement is being filed pursuant to 37 C.F.R. 1.97(i), for placement in the file.

e. Certification [Check one] [Certification is required only if box (b)(i) or box (c) is checked.]

☐ I hereby certify that each item of information contained in the enclosed Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement,

or

☐ I hereby certify that no item of information in the enclosed Information Disclosure Statement herewith was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

or

☐ Appropriate certification is attached.

f. [XXX] If no check is enclosed and a fee is due in connection with this communication or if the check enclosed is insufficient, the Commissioner is authorized to charge any fee or additional fee due in connection with this communication to Deposit Account No. 14-0112.

g. [XXX] Copies of the documents are attached herewith with a completed Form PTO-1449.

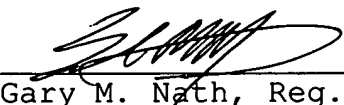
[ ] Copies of the documents or are not attached as allowed under CFR 1.98(d)(1)(2). The earlier application is identified as:

and / or  
[XXX] Copies of US Patents/Publications not attached, with a completed Form PTO-1449, as allowed in Official Gazette Aug. 5, 2003/ Vol. 1273, no. 1.

The Examiner is respectfully requested to cite the documents listed on the attached Form PTO-1449 in the next Office Action. In so doing, the Examiner is respectfully requested to initial in the space adjacent to the listing of each document on the Form PTO-1449, and return a copy of the initialed Form PTO-1449 with the next communication to Applicants, to confirm that these documents have been considered by the Examiner and made of record in this application.

If the Examiner has any questions or wishes to discuss this application, kindly telephone the undersigned at the below-listed number.

Respectfully submitted,  
**NATH & ASSOCIATES PLLC**

  
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Gary M. Nath, Reg. No. 26,965  
Sheldon M. McGee, Reg. No. 50,454  
Customer No. 34375



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Attorney Docket No.: 27233U

<b>FORM PTO-1449</b> <b>INFORMATION DISCLOSURE CITATION</b>	In re Application of: FINK-WAGNER, et al.		Art Unit: Unknown
	Appl. No: 10/572,316	Filed: March 17, 2006	Examiner: Unknown

**U. S. PATENT DOCUMENTS**

Examiner Initial		Document Number	Issue / Publication Date	Inventor	Filed
	A1	5,284,133	8 February 1994	Burns et al.	23 July 1992
	A2	5,363,842	15 November 1994	Mishelevich et al.	20 December 1991
	A3	5,692,492 (corresponds to WO 94/19040)	2 December 1997	Bruna et al.	15 February 1994
	A4	6,119,684 (corresponds to WO 96/00595)	19 September 2000	Nöhl et al.	21 June 1995

**FOREIGN PATENT DOCUMENTS**

Examiner Initial		Document Number	Publication Date	Country	Translation
	A5	93/12823 A2	8 July 1993	WO	N/A
	A6	95/26212 A1	5 October 1995	WO	N/A
	A7	97/13553 A1	17 April 1997	WO	N/A
	A8	98/52542 A1	26 November 1998	WO	N/A
	A9	00/69496 A1	23 November 2000	WO	N/A
	A10	01/24690 A2	12 April 2001	WO	N/A
	A11	03/020349 A2	13 March 2003	WO	N/A
	A12	03/070304 A1	28 August 2003	WO	N/A

Examiner	Date Considered
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP ' 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.